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NASA Policy Directive

NPD 4200.1C

Effective Date: July 31, 2013

Expiration Date: July 31, 2023

COMPLIANCE IS MANDATORY FOR NASA EMPLOYEES[Printable Format \(PDF\)](#)

Request Notification of Change (NASA Only)

Subject: Equipment Management Program (Revalidated on April 30, 2018 w/Change 1)**Responsible Office: Logistics Management Division**

Chg#	Date	Description/Comments
1	4/30/2018	<p>Directive has been revalidated to include the following changes:</p> <ul style="list-style-type: none">• Section 1. Policy removed the various types of controlled equipment described in subparagraphs (1) through (10).• Removed paragraph e, which provided a description of the property survey process.• Removed paragraphs f through i, which provided a description of the property loan process.• Added subparagraph d in section 5. Responsibility, the responsibilities of the senior logistics manager/chief.• Deleted from section 7. Measurements, subparagraphs b through d and added the requirement to complete a 100 percent physical inventory of all NASA-held controlled equipment within a fiscal year.

1. POLICY

a. It is NASA's policy to establish internal controls for managing NASA-held equipment from acquisition throughout its useful life until it is reported as excess and accepted in the Agency's disposal system. NASA equipment will be acquired and retained only to support NASA mission requirements or its institutional operations. NASA equipment is further categorized as either controlled or administratively controlled.

b. The Integrated Asset Management (IAM), Property, Plant, and Equipment (PP&E) System, hereafter referred to as the NASA PP&E system, will be used as the Agency's system of record throughout the Agency to identify and account for NASA-held controlled equipment. It includes equipment in use onsite by contractors regulated by the

NASA Federal Acquisition Regulation (FAR) Supplement (NFS) § 1852.245-71, Installation-Accountable Government Property:

- c. Controlled equipment is to be recorded in and managed by the NASA PP&E system as described in NASA Procedural Requirements (NPR) 4200.1, NASA Equipment Management Procedural Requirements.
- d. Responsibility for Government property is the obligation of each employee using the property, whether or not the property has been specifically issued, assigned, or loaned to the employee. An employee may be held financially liable for the loss, damage, or destruction of Government property when the loss, damage, or destruction is due to the employee's negligence, dishonesty, misconduct, or misuse of the property.

2. APPLICABILITY

- a. This NPD applies to NASA Headquarters, NASA Centers, including Component Facilities, and Technical and Service Support Centers.
- b. This NPD applies to the Jet Propulsion Laboratory (JPL), (a Federally Funded Research and Development Center (FFRDC)), other contractors, grant recipients, or parties to agreements only to the extent specified or referenced in the appropriate contracts, grants, or agreements.
- c. This NPD is applicable to Government Furnished Equipment, Government- developed systems and hardware, and programmatic/mission-specific facilities.
- d. Hardware leased by NASA or loaned to NASA by other Federal agencies and technology development or demonstration programs that does not provide mission, flight, or systems hardware is exempt.
- e. In this NPD, all mandatory actions (i.e., requirements) are denoted by statements containing the term "shall." The terms "may" or "can" denote discretionary privilege or permission, "should" denotes a good practice and is recommended but not required, "will" denotes expected outcome, and "are" or "is" denotes descriptive material.
- f. In this directive, all document citations are assumed to be the latest version unless otherwise noted.

3. AUTHORITY

The National Aeronautics and Space Act, 51 U.S.C. § 20113(a).

4. APPLICABLE DOCUMENTS AND FORMS

- a. Installation-accountable Government property, NASA Federal Acquisition Regulation (FAR) Supplement (NFS), 48 Code of Federal Regulations (CFR) § 1852.245-71.
- b. NPR 2810.1, Security of Information Technology.
- c. NPR 4200.1, NASA Equipment Management Procedural Requirements.
- d. NASA Form (NF) 598, Property Survey Report.
- e. NF 892, Employee Property Pass Agreement and Removal Permit.
- f. NF 893, Loan of NASA Equipment.
- g. NF 894, NASA Property Transfer Form.
- h. NF 1617, Request for Cannibalization/Modification, or Construction/Fabrication of NASA Equipment.
- i. NF 1618, NASA Property Found on Station.

5. RESPONSIBILITY

- a. NASA Headquarters

(1) The Assistant Administrator (AA), Office of Strategic Infrastructure (OSI), with support from the Logistics Management Division (LMD), is responsible for establishing equipment management policies and guidance and for assessing the effectiveness of implementation.

(2) The Director, LMD, or designee, will review all loans of NASA equipment in support of Space Act Agreements, Commercial Space Launch Agreements, Cooperative Research and Development Agreements, or other similar alternative procurement methods, prior to execution.

(3) Export Control Administrators will review loan agreements to foreign governments and organizations for compliance with all export regulations including restrictions under the International Traffic in Arms Regulations (ITAR) and Export Administration Regulations (EAR).

(4) The Office of International and Interagency Relations (OIIR) will concur with foreign loans in accordance with applicable international laws.

b. Center Directors are responsible for NASA equipment management at their respective Centers. They are responsible for ensuring compliance with the equipment management policy set forth herein and in NPR 4200.1, and directing management officials at all levels to safeguard and to support the stewardship and safe use of equipment to prevent personal injury. Center Directors will:

(1) Designate a Survey Officer and a Survey Review Board (SRB) in writing. The SRB consists of at least four senior managers, one of whom will be designated as the SRB Chairperson.

(2) Ensure that the SEMO, or designee, assigns a unique identifier or Equipment Control Number (ECN) to NASA controlled equipment meeting the control criteria. The ECN will be to uniquely identify the property item in the PP&E system, which will be used for equipment control and property accountability and in executing physical inventories.

(3) Ensure that the NASA Center and/or sub-installations completes a 100 percent physical inventory of all NASA-held equipment each fiscal year and resolve initiate applicable all identified survey reports and found on station (FOS) reports to resolve discrepancies in the PP&E system before the end of the fiscal year (September 30). On this date, Center statistics will automatically be generated by NASA systems and used in computing the Centers' and the Agency's inventory record accuracy rate. An inventory campaign includes pre-inventory planning activities, the actual inventory, and post inventory reconciliation activities.

c. The Center Chief Counsel will review and concur with loans or loan extensions.

d. The Center Senior Logistics Manager/Chief, or head of the Center's logistics activities at the Center has the responsibility and authority to account for the effective control, acquisition, use, and disposal of personal property. The Senior Logistics manager is responsible for:

(1) Providing direction, leadership, and general supervision in the implementation and maintenance of the property management program throughout the Center.

(2) Implementing the Agency's policy directives and requirements and Center regulations and procedures satisfying Program requirements and the various laws and regulations referenced therein.

e. The Division Chief, Division Director, or equivalent organization head is responsible for:

(1) Reviewing the loan requests and approving release of the equipment in their custody using NF 893s certifying that the loan does not adversely impact the organization's operations.

(2) Obtaining written export authority prior to the execution of international loans.

(3) Reviewing and taking corrective actions to ensure the execution of the SRB recommendations provided on NF 598s. They have the option to non-concur with the SO/SRB recommendations and appeal the decision of the SO/SRB to the Center Operations Director.

(4) Conducting a walk-through inspection (survey) of all locations, both, onsite and offsite areas of responsibility to identify the status of equipment (i.e., idle or underused, excess, or unserviceable) and initiating corrective actions.

f. The Survey Officer (SO) is responsible for:

(1) Acting independently and directly represent the Center director in investigating facts provided on an NF598.

(2) Reviewing NF 598s and determine from the information provided whether the circumstances surrounding the loss of Government property warrants further review by the SRB.

g. The SRB is responsible for:

(1) Convene with at least three voting members.

(2) A board member will not vote when the member is subject to a potential conflict of interest for the property listed on the NF 598 under review. For example, a report submitted by a superior or subordinate or if they have had

personal responsibility of the items at the time of loss, damage, or destruction of the property.

(3) Equipment Managers and Property Custodians (PCs) will not serve on an SRB. SEMOs are nonvoting board members in an advisory capacity. The SRB determines whether the information warrants the relief of responsibility or there is evidence of negligence or willful misconduct for the loss, damage, or destruction of Government property. The SRB also determines the root causes for the circumstances adversely affecting personal property and provides recommendations to organization heads for implementing corrective actions to prevent recurrences.

h. The Center SEMO will not be designated as a loan approving official. The SEMO should annually investigate discrepancies in the equipment database, which are indicative of faulty equipment control/accountability, to determine trends, conduct a root cause analysis, and address areas for process improvement. Such discrepancies consist of either equipment losses or equipment overages. As the principal officials responsible for oversight of property records and transactions, SEMOs are responsible for:

(1) Establishing internal timelines for timely initiation, processing, and adjudication actions for losses noted during an inventory to meet policy timeline requirements.

(2) Providing technical oversight and concurring with the purpose and terms associated with loan agreements from their Centers.

(3) Establishing local procedures to manage Administratively Controlled Equipment and ensure property accountability; thereby preventing fraud, waste, and misuse.

(4) Designating one area as the Center's sole location for receiving equipment, referred to as Central Receiving.

(5) Oversight for the implementation of NPR 4200.1.

i. PCs will review NF 598s for completeness, inform the Division Director, obtain appropriate signatures, and forward the NF 598 to the SEMO for further processing.

(1) Review and process NF 892, NF 893, NF 894, NF 598, NF 1617, NF 1618 initiated by End Users, or by other personnel within his/her organization, when applicable.

j. End users or responsible persons are responsible for:

(1) Identify and initiate request for excess reports for equipment no longer needed for operational purposes, obsolete or damage equipment, equipment beyond repair, and property identified as potential artifacts.

(2) Initiating and submitting NF 598s to the PCs for processing. The person initiating the survey report immediately notifies Center Security personnel and the corresponding PC when theft is suspected.

(3) Preparing and submitting NF 1618s to the Center Equipment Manager immediately upon discovery of an equipment overage or upon receipt of an overage report deriving from the physical inventory process. The supervisor or the person having the most knowledge surrounding the discovery of the overage will prepare the NF 1618 when the end user is not available.

(4) Preparing and submitting NF 1617s to the Center Equipment Manager immediately including a justification clearly stating the NASA mission requirement satisfied by the cannibalization/modification or Construction/Fabrication of NASA equipment. The supervisor or the person having the most knowledge surrounding the request for cannibalization/modification will prepare the NF 1617 when the end user is not available.

(5) Preparing and submitting NF 894 to the PC or the Center Equipment Manager including a justification clearly stating the NASA mission requirement satisfied by the property transfer. The supervisor or the person having the most knowledge surrounding the transfer will prepare the NF 894 when the end user is not available.

(6) Preparing and submitting NF 892 to the corresponding PC for processing.

k. The Equipment Manager is responsible for:

(1) Establishing accountability and control of all items acquired or found that meet the control criteria in the PP&E system.

(2) Reactivating recovered items in the PP&E System reported as lost during prior inventories or that were removed from the records due to the initiation of survey reports.

(3) Implement NPR 4200.1.

6. DELEGATION OF AUTHORITY

None.

7. MEASUREMENT/VERIFICATION

- a. The completion of 100 percent physical inventory of all NASA-held controlled equipment within a fiscal year (Oct 1 - Sep 30). Results are recorded as part of the Logistics Management Analysis Report in the bReady Enterprise Portal.
- b. The computation of the Equipment Loss Rate executed on September 30 at the end of each fiscal year derived from the total of the equipment items lost or stolen divided by the total controlled equipment density (NASA-held) expressed as a percentage and are recorded as part of the Logistics Management Analysis Report in the bReady Enterprise Portal.

8. CANCELLATION

NPD 4200.1B, Equipment Management dated May 19, 2008.

Revalidated 4/30/2018

Original Signed By

/s/ Charlie F. Bolden
Administrator

ATTACHMENT A: (TEXT)

ATTACHMENT A. Definitions

Administratively Controlled Equipment. NASA equipment having an acquisition cost of less than \$5,000 that is managed using local procedures established by the Center SEMO to ensure property accountability and prevent fraud, waste, and misuse. This category excludes sensitive items, and items identified for display in the NASA Exhibits Loan Program, which are required to be tracked in the PP&E system.

Controlled Equipment. All equipment which has been identified by the Agency as sensitive (flagged high risk in the NASA PP&E System), and all non-sensitive equipment with an acquisition or manufacturing cost of \$5,000 or more. In addition, NASA control criteria applies to the following equipment.

- Rolling stock assigned a NASA license plate
- Equipment on loan or lease to NASA for greater than 60 calendar days
- Gift or a donation to NASA meeting GSA threshold value
- Installation Accountable Government Property (IAGP)
- Heritage asset as defined by NPR 9250.1
- NASA property no longer used for its intended purpose, retained for exhibit or display
- SEMO discretion

Equipment. A tangible asset or end item; it is nonexpendable property that is functionally complete for its intended purpose; it is not intended for sale; it does not lose its identity or become a component part of another item when put into use; it is not intended to be destroyed during an experiment; and it has a useful life of two years or more..

Sensitive Item. Equipment that, due to its pilferable nature or the possibility of its being a hazard, requires a stringent degree of control. Sensitive items are listed in NPR 4200.1, Appendix C.

ATTACHMENT B. Acronyms

EAR Export Administration Regulations
ECN equipment control number
FAR Federal Acquisition Regulation
FFRDC Federal Funded Research Development Center
FOS found on station
GSA General Services Administration
IAGP Installation-Accountable Government Property
IAM Integrated Asset Management
IT information technology
ITAR International Traffic in Arms Regulations
JPL Jet Propulsion Laboratory
LMD Logistics Management Division
NF NASA Form
NFS NASA FAR Supplement
NPD NASA Policy Directive
NPR NASA Procedural Requirements
OCC Office of the Chief Counsel
OGC Office of the General Counsel
PC Property Custodian
PP&E Property, Plant, and Equipment
SBU Sensitive but Unclassified
SEMO Supply and Equipment Management Officer
SO Survey Officer
SOC Security Operations Center
SRB Survey Review Board

ATTACHMENT C. References

- C.1 The Federal Property and Administrative Services Act of 1949, as amended, 40 United States Code (U.S.C.), pt. 101 et seq.
- C.2 Federal Management Regulation, 41 CFR Chapters 101 - 102.
- C.3 Government Property, 48 CFR Part 45, the Federal Acquisition Regulation (FAR) pt. 45.
- C.4 Government Property, 48 CFR Part 1845, the NASA FAR Supplement pt. 1845.
- C.5 NPD 1030.1, Gifts or Decorations From Foreign Governments and Gifts to Foreign Individuals.
- C.6 NPD 1050.1, Authority to Enter into Space Act Agreements.
- C.7 NPD 1387.1, NASA Exhibits Program.
- C.8 NPD 1440.6, NASA Records Management.
- C.9 NPD 2190.1, NASA Export Control Program.
- C.10 NPR 1441.1, NASA Records Management Program Requirements.

C.11 NPR 4300.1, NASA Personal Property Disposal Procedural Requirements.

C.12 NPR 4310.1, Artifact Identification and Disposition.

C.13 NPR 8715.3, NASA General Safety Program Requirements.

C.14 NPR 9250.1, Property, Plant, and Equipment and Operating Materials and Supplies.

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